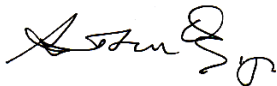


DISTRICT COURT, DENVER COUNTY, COLORADO		DATE FILED: September 16, 2014 8:34 PM CASE NUMBER: 2014CV31708  <div style="text-align: center;"><b>⚠ COURT USE ONLY ⚠</b></div>
Court Address: 1437 Bannock Street, Rm 256, Denver, CO, 80202		
<b>Plaintiff(s)</b> GERALD ROME ACTING SECURITIES COMM v. <b>Defendant(s)</b> JOHN A SNUCKEL et al.		
Case Number: 2014CV31708 Division: 409      Courtroom:		
<b>Order: Corrected Order of Permanent Injunction and Other Relief</b>		

The motion/proposed order attached hereto: GRANTED.

Issue Date: 9/16/2014



ROBERT LEWIS MCGAHEY JR.  
District Court Judge

DISTRICT COURT, CITY AND COUNTY OF DENVER, COLORADO  1437 Bannock Street Denver, CO 80202	
GERALD ROME, Acting Securities Commissioner for the State of Colorado,  Plaintiff,  v.  JOHN A. SNUCKEL, and JEFFREY C. CARPENTER,  Defendants.	<p style="text-align: center;">▲ <b>COURT USE ONLY</b> ▲</p>
<b>BY THE COURT</b>	Case No. 2014CV31708  Courtroom: 409
<p style="text-align: center;"><b>CORRECTED ORDER OF PERMANENT INJUNCTION AND OTHER RELIEF</b></p>	

THIS MATTER is before the Court following entry of Default against Defendant John Snuckel and a hearing on damages held on September 10, 2014.<sup>1</sup> Based on the uncontested allegations of the Commissioner's Complaint and the evidence submitted by the Commissioner at the hearing:

**IT IS HEREBY ORDERED AS FOLLOWS:**

1. The Court has jurisdiction over the Defendant and the subject matter of this action.
2. Defendant, his agents, servants and employees; any person who, directly or indirectly, through one or more intermediaries, is controlled by, or is

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<sup>1</sup> An Order of Permanent Injunction and Other Relief (based upon stipulation with the Commissioner) was entered against Defendant Jeffrey C. Carpenter on August 15, 2014.

under the common control of Defendant; and all of those in active concert or participation with Defendant, who receive actual notice of this Order by personal service or otherwise, are hereby immediately and permanently restrained and enjoined from engaging, directly or indirectly in any of the following acts:

a. Associating in any capacity with any broker-dealer, sales representative, promoter, issuer, financial planner, investment adviser, or investment adviser representative, engaged in business in Colorado, or any individual or entity engaged in the offer, purchase, or sale of securities in or from Colorado. For the purposes of this Order, “associating in any capacity” shall mean acting as a broker-dealer, sales representative, promoter, issuer, financial planner, investment adviser, investment adviser representative (or occupying a similar status or performing similar functions), or directly or indirectly controlling, acting as agent for, or exercising common control of a broker-dealer; sales representative, promoter, issuer, financial planner, or investment adviser, or any employee of a broker-dealer, sales representative, promoter, issuer, financial planner, or investment adviser.

b. In the event the terms of paragraph 2(a) are modified or vacated by an order of the Court after the date of this Order, or in the event that the Defendant’s conduct is not otherwise proscribed by the terms of paragraph 2(a), the following shall nonetheless be prohibited concerning Defendant and those persons identified in paragraph 2(a), above:

1) Offering to sell or selling any securities in the State of Colorado, unless such securities are registered pursuant to sections 11-51-302, 303, or 304, C.R.S., or successor statutes, or exempt from registration pursuant to sections 11-51-307, 308, or 309, C.R.S., or successor statutes; or

2) Engaging in business in the State of Colorado as a securities broker-dealer, sales representative, investment adviser, or investment adviser representative, as may be, in violation of sections 11-51-401 and 402, C.R.S., or successor statutes; or

3. In connection with the offer, sale, or purchase of any security in the State of Colorado, directly or indirectly:

- i) employing any device, scheme, or artifice to defraud; or
- ii) making any untrue statement of material fact or omitting to state a material fact necessary in order to make the statements made, in light of the circumstances under which they are made, not misleading; or
- iii) engaging in any act, practice, or course of business which operates or would operate as a fraud and deceit upon any person;

in violation of section 11-51-501(1), C.R.S. or successor statute.

3. Judgment is entered in favor of the Commissioner and against Defendant John A. Snuckel in the amount of \$620,000.00, joint and several with Defendant Jeffrey C. Carpenter, for which let execution issue. Judgment is also entered in favor of the Commissioner and against Defendant John A. Snuckel individually for prejudgment interest in the amount of \$18,600.00. Post-judgment interest shall accrue on the full amount of the judgment against Defendant John A. Snuckel at the statutory rate of 8% from the date of this judgment until paid in full.

4. The Court shall retain jurisdiction over this action to ensure Defendant's compliance with this Order, and reserves the power to enter additional orders to effectuate and to ensure Defendant's compliance with this Order.

5. Defendant's failure to comply with this Order may constitute grounds for further sanctions against him, including the sanction of contempt.

DATED: \_\_\_\_\_ (*nunc pro tunc* September 10, 2014).

BY THE COURT:

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Denver District Court Judge